PTO/SB/01 (03-01)
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✓ DECLARATION FOR UTILITY OR		Attorney Dock t Nun	nber 06878.114001
		First Named Inventor	Yi Tso, et al
		COMPLETE IF KNOWN	
	CFR 1.63)	Application Number	10 / 615,250
Declaration	X Declaration	Filing Date	July 8, 2003
Submitted	OR Submitted after Initial Filing (surcharge	Group Art Unit	To Be Assigned
with Initial	(37 CFR 1 16 (e))		Ŧ S A : 1

Filing	required)	Examiner Name	To Be	Assigned				
As a below named inventor, I	ereby declare that:							
My residence, mailing address, a	My residence, mailing address, and citizenship are as stated below next to my name.							
I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:								
METHOD AND SYSTEM FOR PROVIDING PRINCIPAL PROTECTION								
EXPOSURE TO EQUITY MARKETS								
	(Title of the	e Invention)		 				
the specification of which	•	·						
is attached hereto								
OR								
X was filed on (MM/DD/YYY	y) July 8, 2003	as United St	ates Application I	Number or PCT In	ternational			
Application Number 10/61	5,250 and was ar	mended on (MM/DD/YY	YY)		(if applicable).			
I hereby state that I have review amended by any amendment sp	ed and understand the con ecifically referred to above.	tents of the above ident	ified specification	, including the cla	ims, as			
I acknowledge the duty to disclo in-part applications, material info	rmation which became ava	allable between the filing	defined in 37 CFI date of the prior	R 1.56, including f application and th	or continuation- ne national or			
PCT international filing date of the continuation-in-part application. I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.								
Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Cop	by Attached?			
110111011(0)		,						
Additional foreign application	on numbers are listed on a	supplemental priority da	ita sheet PTO/SB	3/02B attached her	reto:			

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DECLARATION — Utility or Design Patent Application

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Country Tele	ephone			Fax		
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.						
NAME OF SOLE OR FIRST INVENTOR :	A petition h	as bee	n filed for this un	signed inventor		
Given Name Yi Family Name TSO or Surname						
Inventor's Signature				Date July 16,200 3		
Residence: City Jersey City State NJ		Country		Citizenship US		
45 River Drive So., N	o. 1812			·		
_{city} Jersey City	State NJ	07310 zip		Country US		
NAME OF SECOND INVENTOR:	A petition ha	s been	filed for this unsi	gned inventor		
Given Name John (first and middle [if any])		Family or Sur				
Inventor's Signature				Date		
North Woodmere Residence: City	NY State	Co	US	US Citizenship		
Mailing Address 1075 Duston Road						
North Woodmere	State NY	ZI	_P 11581	Country		
X Additional inventors are being named on the 1_supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.						

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Country	phone			Fax	
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NAME OF SOLE OR FIRST INVENTOR :	A petition ha	s been	filed for this uns	signed inventor	
Given Name Yi (first and middle [if any]) Family Name TSO or Surname					
Inventor's Signature				Date	
Residence: City Jersey City	State NJ	c	US	Citizenship US	
45 River Drive So., No					
_{city} Jersey City	NJ State		07310 zip	Country US	
NAME OF SECOND INVENTOR:	A petition has	been f	filed for this unsi		
Given Name JOhn (first and middle [if any])		Family N			
Inventor's Signature AMR RAA	7			Date 8/12/03	
North Woodmere	NY State	Cou	US untry	US Citizenship	
Mailing Address 1075 Duston Road					
North Woodmere	State NY	ZIP	11581	Country	
X Additional inventors are being named on the 1_su	pplemental Additio	nal Inver	ntor(s) sheet(s) PTO	/SB/02A attached hereto.	

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DECLARATION	quired to res	ADDITIO Supplemen	NALI	MAENIOK(2)	Page	3 4
Name of Additional Joint Invent r, if any:		A pe	tition ha	s been filed for this u	unsigned inve	ntor
Given Name (first and middle (if any)		Family Nan	ne or Su	urname		
Timothy		Bridges	; 			
Inventor's Temothy of Bridges			t		Date 8/	12/03
Residence: City Summit	State	NJ	Coun	tryUS	Citizenship	US
Mailing Address 41 Waldron Avenue						
Mailing Address						
City Summit	State	NJ		Zip 07901	Country	US
Name of Additional Joint Inventor, if any:		□ Аре	etition h	as been filed for this	unsigned inve	entor
Given Name (first and middle (if any)				Family Name or	Surname	
Michael		Millette		·		
Inventor's Signature						
Residence: City	State			Country		Citizenship
Mailing Address						
Mailing Address	State			Zip	Country	
Name of Additional Joint Inventor, if any:	Otate		etition h	nas been filed for this	unsigned inv	entor
Given Name (first and middle (if any)				Family Name or		
Radcliffe J.		Smith				
Naucille J.]				
Inventor's Signature		Date	 -			
Residence: City North Caldwell	State	, NJ		Country US		Citizenship US
Mailing Address 1 East Greenbrook Road						
Mailing Address						
North Caldwell	State	_e NJ		Zip 07006	Country	us

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450.

TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Name of Additional Joint Inventor, if any:		A petition	n has be	en filed for this ur	nsigned inve	ntor
Given Name (first and middle (if any)		Family Name of	or Surnan	ne		
Timothy		Bridges				
Inventor's Signature					Date	
Residence: City Summit	State	NJ C	ountry U	s c	Citizenship	US
Mailing Address 41 Waldron Avenue						
Mailing Address						
Summit City	State	NJ	Zip	07901	Country	US
Name of Additional Joint Inventor, if any:		A petition	on has be	en filed for this u	nsigned inv	entor
Given Name (first and middle (if any)			F	amily Name or S	urname	
Michąel		Millette				
Inventor's Marchael Millith	-				81	12/03
Residence: City Larchmont	State	NΥ	Cour	ntry USA		Citizenship USA
Mailing Address 32 Maple Hill Driv	re					
Mailing Address City Larchmmt	State	NY	Zip	10538	Country	USA
Name of Additional Joint Inventor, if any:	-	☐ A petition	ion has b	een filed for this u	ınsigned inv	entor
Given Name (first and middle (if any)			F	amily Name or S	urname	
Radcliffe J.		Smith				
Inventor's Signature		Date				
Residence: City North Caldwell	State	, NJ	Cou	ntry US		Citizenship US
Mailing Address 1 East Greenbrook Road						
Mailing Address						
North Caldwell	State	, NJ	Zip	07006	Country	US

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Country

07006

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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number ADDITIONAL INVENTOR(S) Supplemental Sheet DECLARATION Page · A petition has been filed for this unsigned inventor Name of Additi nal Joint Inventor, if any: Family Name or Surname Given Name (first and middle (if any) **Bridges Timothy** Inventor's Date Signature US NJ Country US Citizenship State Summit Residence: City 41 Waldron Avenue Mailing Address Mailing Address US State NJ 07901 Summit Country City A petition has been filed for this unsigned inventor Name of Additional Joint Inventor, if any: Family Name or Surname Given Name (first and middle (if any) Millette Michael Inventor's Signature Citizenship State Country Residence: City Mailing Address Mailing Address Country Zip State City Name of Additional Joint Inventor, if any: A petition has been filed for this unsigned inventor Family Name or Surname Given Name (first and middle (if any) Smith Radcliffe J. Inventor's Date Signature Citizenship US NJ Country US North Ca State Residence: City

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

State

NJ

1 East Greenbrook Road

Mailing Address
Mailing Address

North Caldwell

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DECLARATION			NAL tal Sh	INVENTOR(S) eet	Page	4 4 of
Name of Additional Joint Inventor, if any:	_	A peti	tion ha	as been filed for this	unsigned inve	entor
Given Name (first and middle (if any)		Family Nam	e or S	umame		
Richard / / /	,	Andrade				
Inventor's Signature MMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMMM	/				Date 7/	23/03
Residence: City Holmdel	State	NJ	Coun	_{itry} US	Citizenship	US
Mailing Address 2 Rustic Lane	-					
Mailing Address						
City Holmdel	State	NJ		_{Zip} 07733	Country	US
Name of Additional Joint Inventor, if any:		☐ A pet	ition h	as been filed for this	unsigned inv	entor
Given Name (first and middle (if any)				Family Name or	Surname	
Inventor's Signature					<u> </u>	
Residence: City	State			Country		Citizenship
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Name of Additional Joint Inventor, if any:		☐ A pet	tition h	nas been filed for this	unsigned inv	ventor
Given Name (first and middle (if any)				Family Name or	Surname	
Inventor's Signature		Date				
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Applicati n Number	10/615,250
Filling Date	07/08/2003
First Named Inventor	Yi Tso, et al
Title Method and System for	Providing Principal Protection Exposure to Equity
Art Unit	3629
Examiner Name	To Be Assigned
Attorney Docket Number	06878.114001

I hereby appoint:				
X Practitioners at Customer Number:	32,361			
OR				
Practitioner(s) named below:				
Name			Registration Nu	umber
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I am the: X Applicant/Inventor.				
Assignee of record of the entire in Statement under 37 CFR 3.73(b)	is enclosed. (Ponti PTQ/SE/90			
	SIGNATURE of Applicant	or Assignee of R	ecord	
Name Yi Tso				
Signature			Telephone	212-357-46/2
Date December 2				
NOTE: Signatures of all the inventors or assign forms if more than one signature is required, se	ees of record of the entire interest or a below.	their representative	(8) and required. St	milit turible

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Application Number	10/615,250
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Attorney Docket Number	06878.114001

I hereby appoint:			7
Practitioners at Customer Number:	32,361		
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Applicant/Inventor.			
Assigned of record of the entire it	nterest, See 37 CFR 3.71.		
Statement under 37 CFR 3.73(b)	is enclosed. (Form F I O/36/9		
	SIGNATURE of Applicant	OT ASSIGNED OF F	Kecoru
Name Michael Millette	1/10-12		
Signature Male	al Willette		Telephone 212.902.3702.
NOTE: Signatures of all the inventors or assigne	Lacr 3, 2005	or their representative	
NOTE: Signatures of all the inventors or assigned forms if more than one signature is required, see	below.		
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Yi Tso, et al
Providing Principal Protection Exposure to Equity
3629
To Be Assigned
06878.114001

I hereby appoint: X Practitioners at Customer Number:	32,361			
OR			_	
Practitioner(s) named below:				
Name			Registration Number	
as my/our attorney(s) or agent(s) to prosec	As the exclination identified	above, and to trans	act all business in the United State	s Patent and
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I am the:				
Applicant/Inventor.				
Assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)				
Signature of Applicant or Assignee of Record				
	Alouations of Abbuse			
Name John Vitha				
Signature			Telephone 2,2-902	-5757
Date 12-1-03		or their contecentative		
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First Named Inventor	Yi Tso, et al
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I am the: X Applicant/Inventor. Assignee of record of the entire interest. See 37 CFR 3.71. Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)				
SIGNATURE of Applicant or Assignee of Record				
Name Radciife J. Splith				
Signature Si Acada Canada				
Date (2503/		t or their representative	Telephone 712-403-8775	
NOTE: Signatures of all the inventors or assigne forms if more than one signature is required, see	es or record of the entire interes below*.	O men representative	Manage and an and an analysis analysis and an analysis and an analysis and an analysis and an	
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Art Unit	3629
Examiner Name	To Be Assigned
Attorney Docket Numbe	

				
I hereby appoint:			7	1
X Practitioners at Customer Number:	32,361			
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Name Timothy Bridges				1 / 5 =
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Filing Date	07/08/2003
First Named Inventor	Yi Tso, et al
Title Method and System to	or Providing Principal Protection Exposure to Equit
Art Unit	3629
Examiner Name	To Be Assigned
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